



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER

FILING/RECEIPT DATE

FIRST NAMED APPLICANT

ATTORNEY DOCKET NUMBER

09/838,892

04/20/2001

Jack Oon Chu

YO920010308US1

CONFIRMATION NO. 1665

## FORMALITIES LETTER



\*OC000000006187586\*

IBM CORPORATION  
INTELLECTUAL PROPERTY LAW DEPT.  
P.O. BOX 218  
YORKTOWN HEIGHTS, NY 10598

Date Mailed: 06/15/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

*A copy of this notice **MUST** be returned with the reply.*

09/20/2001 HBELETE1 00000027 090468 09030892

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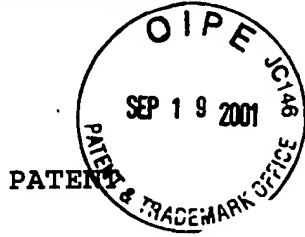
09/20/2001 09:04:00

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

09/26/2001 10:15:04



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of : Initial Patent Examination  
Jack O. Chu et al. : Division  
Serial No.: 09/838,892 : Date: September 17, 2001  
Confirmation No.: 1665 :  
Filed: April 20, 2001 :

For: Epitaxial and Polycrystalline Growth of  $\text{Si}_{1-x-y}\text{Ge}_x\text{C}_y$   
and  $\text{Si}_{1-y}\text{C}_y$  Alloy Layers on Si by UHV-CVD

FILING OF MISSING PARTS OF NONPROVISIONAL APPLICATION  
UNDER 37 CFR 1.53(b)  
FILING DECLARATION AND POWER OF ATTORNEY  
FILING ASSIGNMENT  
FILING FORMAL DRAWINGS

To: Assistant Commissioner for Patents  
Initial Patent Examination Division  
Washington, D.C. 20231

Sir:

On April 20, 2001, the above-identified application was  
filed with the U.S. Patent and Trademark Office, under Rule  
1.53(b) Missing Parts.

Enclosed at this time is an original Declaration, which  
includes the signatures of the five inventors.

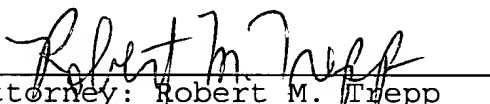
Also attached for filing is the original fully executed  
Assignment for the above-identified application with the required  
Recordation Form Cover Sheet.

Submitted herewith are eleven (11) sheets of formal drawings including two (2) sheets of black and white photographs, (sheet 2 and 5 of 11) for entry in the above-identified application which are attached to the Formal Drawings Transmittal Letter.

The fee of \$ 280.00 representing the Surcharge of \$130.00, the Assignment fee of \$40.00 and the one month(s) extension of time of \$ 110.00 is to be charged to Deposit Account No.: 09-0468. A duplicate copy of this paper is attached.

A copy of the "Notice to File Missing Parts of Nonprovisional Application", date mailed August 15, 2001, is also attached as per your instructions.

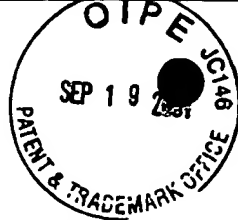
Respectfully submitted,  
Attorney for the Applicants

by   
Attorney: Robert M. Trepp  
Reg. No. 25,933  
Tel. (914) 945-3147

IBM Thomas J. Watson Research Center  
Intellectual Property Law Department  
P.O. Box 218  
Yorktown Heights, N.Y. 10598

Attorney Docket: YOR920010308US1

FOR FILING



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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of : Initial Patent Examination  
: Division  
Jack O. Chu et al. :  
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SUBMISSION OF FORMAL DRAWINGS AND PHOTOGRAPHS

Commissioner for Patents  
Washington, D. C. 20231

Sir:

Submitted herewith are eleven (11) sheets of formal drawings including two (2) sheets of black and white photographs, (sheet 2 and 5 of 11) for entry in the above-identified application.

These drawings and photographs conform to those originally submitted at the time of filing of the application.

Please substitute these formal drawings for the drawings which were filed with the application.

Respectfully submitted,  
Attorney for the Applicant(s)

by Robert M. Trepp  
Robert M. Trepp  
Reg. No. 25,933

IBM Corporation  
Intellectual Property Law Department  
P. O. Box 218  
Yorktown Heights, N. Y. 10598  
Telephone No.: (914) 945-3701  
Fax No.: (914) 945-3281

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of : Initial Patent Examination  
Division

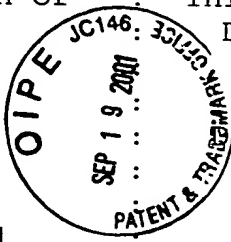
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and  $\text{Si}_{1-y}\text{C}_y$  Alloy Layers on Si by UHV-CVD

To: Commissioner for Patents  
Initial Patent Examination Division  
Washington, D.C. 20231

**CERTIFICATE OF MAILING UNDER 37 CFR 1.8(a)**

I hereby certify that the attached correspondence comprising:

1. Acknowledgment Post Card;
2. Petition and Fee for Extension of Time (37 CFR 1.136(a))  
(in duplicate);
3. Filing of Missing Parts of Nonprovisional Application Under 37 CFR 1.53(b)  
(in duplicate);
4. Declaration and Power of Attorney Form;
5. Notice to File Missing Parts of Nonprovisional Application (return copy);
6. Assignment to IBM with attached Recordation Form;
7. Formal Drawings Transmittal Letter; and
8. Set of eleven (11) sheets of formal drawings including two (2) sheets  
of black and white photographs, (sheet 2 and 5 of 11)

is being deposited with the United States Postal Service as first class  
mail in an envelope addressed to:

Customer Service Center  
Initial Patent Examination Division  
Washington, DC 20231

on September 17, 2001

Michelle Parra

(Print name of person certifying)

Michelle Parra

(Signature of person certifying)

Attorney Docket: YOR920010308US1